

8-2761

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PATENT

Paper No.

File: Newmrkt-P1-98

Date: 29 March 2000

Signed: [Signature]
Peter K. Trzyna (Reg. No. 32,601)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor	:	Anthony F. Herbst and Wayne F. Perg
Serial No.	:	09/197,908
Filed	:	November 23, 1998
For	:	DIGITAL COMPUTER SYSTEM AND METHODS FOR MANAGING AN AUCTION MARKET FOR PREFERRED-RETURN SECURITIES
Group Art Unit	:	2761
Examiner	:	Retta Yehdega



Honorable Commissioner of Patents
and Trademarks
Washington, D.C. 20231

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TRANSMITTAL LETTER

S I R :

Please enter the following enclosed documents in the above-identified patent application.

1. Amendment and Response;
2. Definition of *preferred stock* (from *Webster's Ninth New Collegiate Dictionary* (1990));
3. Definition of *prefer* (from *Webster's Ninth New Collegiate Dictionary* (1990));
4. Definition of *return* (from *Webster's Ninth New Collegiate Dictionary* (1990));
5. Definition of *instrument* (from *Webster's Ninth New Collegiate Dictionary* (1990));
6. Definition of *preferred stock* (from *Fundamentals of Investing, Third Edition* by Gitman & Joehnk, Harper & Row, 1988, p. G-17);

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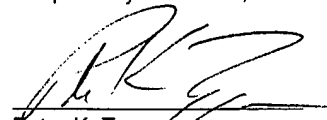
7. Explanation of the security contract (from *Security Analysis and Portfolio Management, Fourth Edition* by Fischer and Jordan, Prentice-Hall, 1987, pp. 387-388); and

8. Eight printed pages from the internet.

The Commissioner is hereby authorized to charge any fees associated with the above-identified patent application or credit any overcharges to Deposit Account No. 50-0235. Please direct all correspondence to the undersigned at the address given below.

Respectfully submitted,

Date: 29 March 2000


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